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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/843,841	04/30/2001	Mark J. Stender	SPLT-P01-001	1028
27510	7590	08/23/2005	EXAMINER	
KILPATRICK STOCKTON LLP 607 14TH STREET, N.W. WASHINGTON, DC 20005			KOPPIKAR, VIVEK D	
			ART UNIT	PAPER NUMBER
			3626	

DATE MAILED: 08/23/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	<b>Application No.</b> 09/843,841	<b>Applicant(s)</b> STENDER, MARK J.	
	<b>Examiner</b> Vivek D. Koppikar	<b>Art Unit</b> 3626	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
  - If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
  - If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
  - Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 4/30/2001.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-30 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-30 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 8/10/2001 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
     Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
     Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \*    c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |   |   |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)  | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

## **DETAILED ACTION**

### ***Status of the Application***

1. Claims 1-30 are pending in this application and are being addressed in this first office action on the merits. The Information Disclosure Statement (IDS) filed on June 10, 2002 has been acknowledged in this Office Action.

### ***Claim Rejections - 35 USC § 102***

2. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(a) the invention was known or used by others in this country, or patented or described in a printed publication in this or a foreign country, before the invention thereof by the applicant for a patent.

3. Claims 1-5, 8-13 and 17-18 and 30 are rejected under 35 U.S.C. 102(a) as being unpatentable by US Patent Number 6,615, 258 to Barry.

Barry is directed towards an integrated customer interface for web based data management. The system can be used in a broad range of service industries.

(A) As per claim 1, Barry teaches a method of providing remote access to insurance applications from a mainframe insurance data processing system (mainframe system) via a web-based graphical user interface (GUI), comprising:

providing a web-based logon screen for accessing the enterprise (insurance) applications, wherein the logon screen includes an option to display an application pop-up box that lists the insurance (enterprise) applications that are accessible (Abstract, Col. 2, Ln. 23-46, Col. 6, Ln. 55-Col. 10, Ln. 26).

prompting entry of a user identification (ID), the user password, and a selection of one of the insurance applications to access at the logon screen (Col. 12, Ln. 21-34).

receiving entry of the user ID, the user password, and the selected insurance application (Col. 12, Ln. 21-34).

verifying the entered user ID and password and upon successful verification, communicates with the mainframe system to access the selected insurance application and provides a web-based first screen for the selected application (Col. 12, Ln. 21-34 and Col. 13, Ln. 35-Col. 14, Ln. 55).

The examiner takes the position that since the disclosure in Barry states that the data management and access system can be used in a comprehensive range of service industries (Col. 2, Ln. 37-46) the insurance industry is within the scope of the industries encompassed by the disclosure of Barry.

(B) As per claim 2, Barry teaches that the logon screen and the first screen of the selected application are web pages provided by a web-based GUI at a designated website (Col. 7, Ln. 35-45).

(C) As per claim 3, in Barry the web-based GUI website is provided by at least one web server farm, wherein the web server farm comprises at least one web server (Col. 7, Ln. 66-Col. 8, Ln. 11).

(D) As per claim 4, Barry teaches the step wherein an enterprise (insurance) application is selected by choosing one of the enterprise (insurance) applications listed in the application pop-up box (Col. 16, Ln. 33-44).

(E) As per claim 5, the logon screen in Barry may be accessed through the Internet or a private communication network within an Internet (Col. 11, Ln. 65-Col. 12, Ln. 21).

(F) As per claim 8, in Barry the web-based GUI includes GUI applications and the enterprise (insurance) applications from the mainframe system are accessed through the GUI applications (Col. 7, Ln. 9-13; Col. 10, Ln. 52-58).

(G) As per claim 9, in Barry each of the GUI applications comprise components and services, wherein each of the components includes one or more services and represents an enterprise (insurance) object or product offered by the enterprise (insurance) applications, and wherein each of the services represents an action that can be performed on the enterprise (insurance) subject or product (Col. 4, Ln. 20-54).

(H) As per claim 10, Barry teaches a method of providing remote access to insurance applications from a insurance data processing system (insurance system) via a graphical user interface (GUI), comprising:

providing a logon screen for accessing the enterprise applications (insurance), wherein the enterprise applications include services (insurance policy quote and insurance policy issuance) (Col. 2, Ln. 34-46).

prompting entry of a user identification (ID), the user password, and a selection of one of the insurance applications to access at the logon screen (Col. 12, Ln. 21-34).

receiving entry of the user ID, the user password, and the selected insurance application (Col. 12, Ln. 21-34).

verifying the entered user ID and password and upon successful verification, communicates with the mainframe system to access the selection insurance application and

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provides a web-based first screen for the selected application (Col. 12, Ln. 21-34 and Col. 13, Ln. 35-Col. 14, Ln. 55).

(J) As per claim 11, Barry teaches that the logon screen includes an option to display a pop-up box that lists the enterprise (insurance) applications that can be selected. (Figure 6 and Col. 13, Ln. 35-45).

(K) As per claim 12, in Barry the selected enterprises application comprises services (insurance policy quotes) (Col. 18, Ln. 17-29) and the first screen comprises a welcome screen (Col. 12, Ln. 11-21).

(L) As per claim 13, Barry teaches the step of providing a second screen to gather information about a customer for the selected client application (insurance policy quote) (Col. 46, Ln. 55-60). The system in Barry prompts the user to enter an agent code (Col. 16, Ln. 36-37). The system of Barry includes an order entry (data entry) module which prompts the user to enter data (customer name, customer address and customer telephone number). The system searches the system to retrieve customer information based on the user input (Col. 7, Ln. 9-13).

(M) As per claim 17, the system of Barry can be used in a variety of enterprises including insurance policy issuance (Col. 2, Ln. 34-46).

(N) As per claim 18, Barry teaches a first screen to gather information about an insurance customer for which the insurance policy is selected, Barry also teaches prompting a user for entry of information (Col. 16, Ln. 33-44). Barry teaches a feature wherein the system searches for (customer) records present in the system. The search is prompted based on the entry of customer information and search criteria by the user (Col. 18, Ln. 56-67).

(O) As per claim 30, in Barry an option exists to print out forms relating to the selected application (Col. 58-60).

***Claim Rejections - 35 USC § 103***

4. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

5. Claims 6-7 are rejected under 35 U.S.C. 103(a) as being unpatentable over Barry as rejected over Claim 1 above, and in further view of US Patent Number 6, 535, 917 to Zamanzadeh.

(A) As per claims 6-7, Barry fails to teach a separate web servers with their own logon screens (web server farms). However this feature is well known in the art as evidenced by Zamanzadeh which teaches separate web servers for separate communication means (Internet, intranet or private communication network) (Figure 1 and Col. 2, Ln. 57-67). The multiple servers serve as backups to each other (Col. 4, Ln. 47-55). At the time of the invention one of ordinary skill in the art would have found it obvious to modify the system of Barry and add the web server farm arrangement disclosed in Zamanzadeh with the motivation of producing a more reliable system more capable of withstanding failure (Zamanzadeh, Col. 4, Ln. 47-55).

6. Claim 14 and 16 are rejected under 35 U.S.C. 103(a) as being unpatentable over Barry as rejected over Claim 13 above, and in view of US Patent Number 5,262,940 to Sussman and in further view of US Patent Number 5,493,105 to Desai.

(A) As per claims 14, Barry teaches a search feature wherein a list of records is displayed for successful searches (Figure 19(b), Col. 18, Ln. 60-Col. 19, Ln. 16, Col. 47, Ln. 17-36) while for unsuccessful searches a user is prompted to add a record to a system. Barry does not disclose a search feature wherein if a search is unsuccessful the system prompts a user to add a new record and import a record from outside the system, however, this feature is well known in the art as evidenced by Sussman. Sussman, in part, is directed towards a system which enables a user to search, add and retrieve data. Sussman teaches that a feature wherein if a search is unsuccessful the system prompts the user to add a new record (Col. 7, Ln. 21-43). At the time of the invention, one of ordinary skill in the art would have found it obvious to modify the system of Barry with the aforementioned feature from Sussman with the motivation of producing a system with improved means of inputting and transmitting data as taught in Sussman (Col. 2, Ln. 20-26). Barry and Sussman do not teach a means of importing a record from outside the system, however, this feature is well known in the art as evidenced by US Patent Number 5,493,105. Desai, which is directed towards an electronic business card system, teaches a feature wherein a user is prompted to import records (Col. 16, Ln. 50-59). At the time of the invention, one of ordinary skill in the art would have found it obvious to modify the system of Barry with the aforementioned feature in Desai with the motivation of producing an enhanced system capable of organizing, manipulating and retrieving data as recited in Desai (Col. 1, Ln. 12-15).

(B) As per claim 16, in Barry the GUI is a web-based GUI, the second screen displays a web page of the web-based GUI, and the third screen displays the web page having been modified (Col. 7, Ln. 13-45).

7. Claim 15 is rejected under 35 U.S.C. 103(a) as being unpatentable over Barry, Sussman and Desai as applied to claim 14 above, and further in view of US Patent Number 5, 192, 705 to Barr.

(A) As per claim 15, Sussman and Desai fail to teach a feature wherein the application has multiple screens for entering data such as the type of insurance policy, basic policy information, detailed policy information, subject to be insured, coverage and a screen for providing a policy quote (data output). However, these features are well-known in the art as evidenced by Barr. Barr is directed towards a computer system and method for work management. Barr teaches providing multiple screens for data input and output (Col. 15, Ln. 64- Col. 16, Ln. 68; Col. 62, Ln. 19-25). Barr does not expressly teach the specific data recited in claims 15; however, these differences are only found in the non-functional descriptive material and are not functionally involved in the steps recited nor do they alter the recited structural elements. The recited method steps would be performed the same regardless of the specific data. Further, the structural elements remain the same regardless of the specific data. Thus, this descriptive material will not distinguish the claimed invention from the prior art in terms of patentability, *see In re Gulack*, 703 F.2d 1381, 1385, 217 USPQ 401, 404 (Fed. Cir. 1983); *In re Lowry*, 32 F.3d 1579, 32 USPQ2d 1031 (Fed. Cir. 1994); MPEP 2106.

At the time of the invention, one of ordinary skill in the art would have found it obvious to modify the collective system of Barry, Sussman and Desai and add the multiple screens as recited in Barr in order to minimize the time to prepare and complete forms as recited in Barr (Col. 2, Ln. 66-68).

8. Claims 19-20 are rejected under 35 U.S.C. 103(a) as being unpatentable over Barry as rejected over Claim 18 above, and in view of US Patent Number 5,262,940 to Sussman and in further view of US Patent Number 5,493,105 to Desai.

(A) As per claim 19, Barry teaches a search feature wherein a list of records is displayed for successful searches (Figure 19(b), Col. 18, Ln. 60-Col. 19, Ln. 16, Col. 47, Ln. 17-36) while for unsuccessful searches a user is prompted to add a record to a system. Barry does not disclose a search feature wherein if a search is unsuccessful the system prompts a user to add a new record and import a record from outside the system, however, this feature is well known in the art as evidenced by Sussman. Sussman, in part, is directed towards a system which enables a user to search, add and retrieve data. Sussman teaches that a feature wherein if a search is unsuccessful the system prompts the user to add a new record (Col. 7, Ln. 21-43). At the time of the invention, one of ordinary skill in the art would have found it obvious to modify the system of Barry and Sussman with the aforementioned feature from Desai with the motivation of improving the means, in the system, of inputting and transmitting data as taught in Sussman (Col. 2, Ln. 20-26).

Barry and Sussman do not teach a means of importing a record from outside the system; however, this feature is well known in the art as evidenced by US Patent Number 5,493,105. Desai, which is directed towards an electronic business card system, teaches a feature wherein a user is prompted to import records (Col. 16, Ln. 50-59). At the time of the invention, one of ordinary skill in the art would have been found it obvious to modify the collective system of Barry and Sussman with the aforementioned feature in Sussman with the motivation of

producing an enhanced system capable of organizing, manipulating and retrieving data as recited in Desai (Col. 1, Ln. 12-15).

(B) As per claim 20, in the system of Barry information is retrieved from the record found in the system from searching (Col. 12, Ln. 35-44).

9. Claims 21-29 rejected under 35 U.S.C. 103(a) as being unpatentable over Barry, Sussman and Desai as applied to claim 19 above, and further in view of US Patent Number 5,182,705 to Barr.

As per claims 21-29, Barry, Sussman and Desai fail to teach a feature wherein the application has multiple screens for entering data such as the type of insurance policy, basic policy information, detailed policy information, subject to be insured, coverage, billing, determinants of an insurance type, pricing level, type of vehicle, residence information, endorsements and a screen for providing a policy quote (data output). However, these features are well-known in the art as evidenced by Barr. Barr is directed towards a computer system and method for work management. Barr teaches providing multiple screens for data input and output (Col. 15, Ln. 64- Col. 16, Ln. 68; Col. 62, Ln. 19-25). Barr does not expressly teach the specific data recited in claims 15; however, these differences are only found in the non-functional descriptive material and are not functionally involved in the steps recited nor do they alter the recited structural elements. The recited method steps would be performed the same regardless of the specific data. Further, the structural elements remain the same regardless of the specific data. Thus, this descriptive material will not distinguish the claimed invention from the prior art in terms of patentability, *see In re Gulack*, 703 F.2d 1381, 1385, 217 USPQ 401, 404 (Fed. Cir. 1983); *In re Lowry*, 32 F.3d 1579, 32 USPQ2d 1031 (Fed. Cir. 1994); MPEP 2106.

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At the time of the invention, one of ordinary skill in the art would have found it obvious to modify the collective system of Barry, Sussman and Desai and add the multiple screens as recited in Barr with the motivation of minimizing the time to prepare and complete forms as recited in Barr (Col. 2, Ln. 66-68).

**Conclusion**

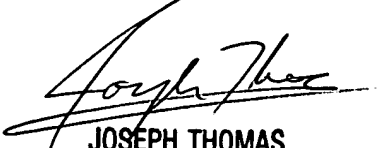
10. Any inquire concerning this communication or earlier communications from the examiner should be directed to Vivek Koppikar, whose telephone number is (571) 272-5109. The examiner can normally be reached from Monday to Friday between 8 AM and 4:30 PM.

If any attempt to reach the examiner by telephone is unsuccessful, the examiner's supervisor, Joseph Thomas, can be reached at (571) 272-6776. The fax telephone number for this group is (703) 305-7687 (for official communications including After Final communications labeled "Box AF").

Sincerely,

*Vivek Koppikar*  
Vivek Koppikar

8/11/2005

  
JOSEPH THOMAS  
SUPERVISORY PATENT EXAMINER  
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